

PHA Plans

5 Year Plan for Fiscal Years 2001 - 2005
Annual Plan for Fiscal Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan
Agency Identification**

PHA Name: *Housing Authority of Henderson Kentucky*

PHA Number: *KY012*

PHA Fiscal Year Beginning: (mm/yyyy) *04/2001*

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices
- ☐ Main administrative office of the local government
- ☐ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☐ Public library
- ☐ PHA website
- ☐ Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- ☒ Main business office of the PHA
- ☐ PHA development management offices
- ☐ Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2001 - 2005
[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- ☐ The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- ☒ The PHA's mission is: (state mission here)
The mission of the Housing Authority of Henderson is to promote, without discrimination, affordable quality housing, economic opportunity, and a positive living environment for the residents we serve.

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- ☒ PHA Goal: Expand the supply of assisted housing
Objectives:
- ☐ Apply for additional rental vouchers:
 - ☒ Reduce public housing vacancies: *Maintain to less than 5%.*
 - ☐ Leverage private or other public funds to create additional housing opportunities:
 - ☒ Acquire or build units or developments: *By 2004, acquire vacant property for development.*
 - ☒ Other (list below): *Increase Section 8 landlord participation through outreach programs.*

Progress Report: *In FY 2000, we had a public housing vacancy rate of 3%.*

We purchased two vacant lots to be used for future housing.

Fifteen new Section 8 landlords were added to the program.

- ☒ PHA Goal: Improve the quality of assisted housing
Objectives:
- ☐ Improve public housing management: (PHAS score)
 - ☐ Improve voucher management: (SEMAP score)
 - ☐ Increase customer satisfaction:
 - ☐ Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)
 - ☒ Renovate or modernize public housing units: ***Renovate/modernize to increase marketability and, when feasible, add amenities through Capital Funds.***
 - ☐ Demolish or dispose of obsolete public housing:
 - ☐ Provide replacement public housing:
 - ☐ Provide replacement vouchers:
 - ☐ Other: (list below)

Progress Report: *With the last Comprehensive Grant Program funds, we continued to renovate/modernize current housing stock. As a result, this also enhanced the attractiveness and marketability of our dwelling units.*

- ☒ PHA Goal: Increase assisted housing choices
Objectives:
- ☐ Provide voucher mobility counseling:
 - ☒ Conduct outreach efforts to potential voucher landlords: ***through public awareness and education presentations and brochures.***
 - ☐ Increase voucher payment standards
 - ☐ Implement voucher homeownership program:
 - ☐ Implement public housing or other homeownership programs:
 - ☐ Implement public housing site-based waiting lists:
 - ☐ Convert public housing to vouchers:
 - ☐ Other: (list below)

Progress Report: *We held briefing sessions with new tenants and landlords. We mailed newsletters, placed newspaper advertisements, and did a radio interview to inform the public of the availability of Section 8 vouchers in public housing.*

HUD Strategic Goal: Improve community quality of life and economic vitality

- ☒ PHA Goal: Provide an improved living environment
- Objectives:
- ☒ Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments: ***Establish and follow deconcentration policy.***
 - ☒ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments: ***Establish and follow deconcentration policy.***
 - ☒ Implement public housing security improvements: ***Improve procedures as determined by PHDEP evaluation.***
 - ☐ Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
 - ☐ Other: (list below)

Progress Report: *Through marketing and outreach, we have had a 20.5% (23 families) increase in the number of families with incomes greater than thirty (30) but less than fifty (50) percent of median income. Consequently, there has been a decrease in the concentrations of very low-income families as per the requirements of the QHWRA of 1998. (See Attachment A.)*

The Housing Authority of Henderson has used a comprehensive security and preventive-based approach to attack the problem of drug-related crime. A community policing concept comprised of additional police patrols coupled with resident neighborhood watch efforts is being used to combat the problem of drug activity in and around our developments. A comprehensive drug prevention program involving academic and drug education programs, after school/summer programs, teen programs, and employment skills education provides youth and adults alternatives to drug activity.

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- ☒ PHA Goal: Promote self-sufficiency and asset development of assisted households
- Objectives:
- ☒ Increase the number and percentage of employed persons in assisted families: ***Increase by 2 families per year (155 now).***

- ☒ Provide or attract supportive services to improve assistance recipients' employability: ***Ongoing FSS and PHDEP programs and community service programs.***
- ☐ Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- ☒ Other: (list below)
Annually maintain at least a 20 percent participation rate by elderly/disabled residents in programs of self-sufficiency/supportive services.

Progress Report: ***We increased the number of working families by 10.***

The Housing Authority of Henderson provides or sponsors classes in job/life skills, resume, introduction to computer, GED, SAT and ACT preparation; and credit consumer counseling.

We maintained a 50% participation rate by elderly/disabled residents in programs of self-sufficiency and supportive services.

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- ☒ PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
 - ☒ Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: ***Provide awareness training to staff, and post grievance policy and procedures.***
 - ☐ Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - ☐ Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - ☐ Other: (list below)

Progress Report: ***Housing Authority of Henderson staff attended workshops and conventions. We also held in-house training.***

Other PHA Goals and Objectives: (list below)

Annual PHA Plan
PHA Fiscal Year 2001
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

☐ **Standard Plan**

Streamlined Plan:

- ☒ **High Performing PHA**
☐ **Small Agency (<250 Public Housing Units)**
☐ **Administering Section 8 Only**

☐ **Troubled Agency Plan**

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- ☒ **Attachment A--Admissions Policy for Deconcentration (ky012a01)**
- ☒ **Included in body of Plans--FY 2001 Capital Fund Program Annual Statement**
- ☐ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)
- ☒ **Included in body of Plans after each PHA Goal section--Brief Statement of Progress in Meeting the 5-Year Plan Mission and Goals**
- ☒ **Attachment D—Resident Member on the PHA Governing Board (ky012d01)**
- ☒ **Attachment E—Membership of the Resident Advisory Board (ky012e01)**
- ☒ **Attachment F—Definition of Substantial Deviation and Significant Amendment or Modification (ky012f01)**

Optional Attachments:

- ☐ PHA Management Organizational Chart
- ☒ **Included in body of Plans--FY 2001 Capital Fund Program 5 Year Action Plan**
- ☒ **Attachment B--Public Housing Drug Elimination Program (PHDEP) Plan (ky012b01)**
- ☒ **Attachment C--Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text) (ky012c01)**
- ☐ Other (List below, providing each attachment name)

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
NA	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
NA	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
NA	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
NA	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
NA	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
NA	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
NA	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
NA	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	598	5	5	4	3	2	4
Income >30% but <=50% of AMI	356	5	5	4	3	2	4
Income >50% but <80% of AMI	104	4	5	4	3	2	3
Elderly	487	4	5	4	4	2	3
Families with Disabilities	121	4	5	4	5	2	4
Race/Ethnicity: W	826	4	5	4	3	2	3
Race/Ethnicity: B	225	4	5	4	3	2	3
Race/Ethnicity: O	7	4	5	4	3	2	3
Race/Ethnicity							

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☒ Consolidated Plan of the Jurisdiction/s
Indicate year: **City of Henderson 2000-2005**
- ☒ U.S. Census data: the Comprehensive Housing Affordability Strategy
("CHAS") dataset
- ☐ American Housing Survey data
Indicate year:
- ☐ Other housing market study
Indicate year:
- ☐ Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/>	Section 8 tenant-based assistance		
<input checked="" type="checkbox"/>	Public Housing		
<input type="checkbox"/>	Combined Section 8 and Public Housing		
<input type="checkbox"/>	Public Housing Site-Based or sub-jurisdictional waiting list (optional)		
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	108		212
Extremely low income <=30% AMI	37	34.3	
Very low income (>30% but <=50% AMI)	27	24.9	
Low income (>50% but <80% AMI)	44	40.8	
Families with children	45	41.7	
Elderly families	9	8.4	
Families with Disabilities	22	20.4	
Race/ethnicity: W	78	72.3	
Race/ethnicity: B	30	27.7	
Race/ethnicity: O	0	0	
Race/ethnicity			

Housing Needs of Families on the Waiting List			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	43	39.8	70
2 BR	35	33.3	53
3 BR	26	24.1	33
4 BR	4	37	2
5 BR	0	0	1
5+ BR	0	0	0
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one) <input checked="" type="checkbox"/> Section 8 tenant-based assistance <input type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	121		189
Extremely low income <=30% AMI	90	74	
Very low income (>30% but <=50% AMI)	31	26	
Low income (>50% but <80% AMI)	0	0	
Families with children	57	47	
Elderly families	10	8	

Housing Needs of Families on the Waiting List			
Families with Disabilities	30	24	
Race/ethnicity: <i>W</i>	92	75	
Race/ethnicity: <i>B</i>	28	22	
Race/ethnicity: <i>O</i>	1	0	
Race/ethnicity:			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- ☐ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☐ Reduce turnover time for vacated public housing units
- ☐ Reduce time to renovate public housing units

- ☐ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☐ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- ☒ Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- ☒ Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- ☒ Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- ☒ Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- ☒ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- ☐ Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- ☒ Apply for additional section 8 units should they become available
- ☐ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- ☐ Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- ☒ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- ☒ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- ☐ Employ admissions preferences aimed at families with economic hardships
- ☒ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- ☒ Employ admissions preferences aimed at families who are working
- ☒ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- ☐ Seek designation of public housing for the elderly
- ☐ Apply for special-purpose vouchers targeted to the elderly, should they become available
- ☐ Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- ☐ Seek designation of public housing for families with disabilities
- ☐ Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- ☐ Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- ☐ Affirmatively market to local non-profit agencies that assist families with disabilities
- ☐ Other: (list below)

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- ☐ Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- ☐ Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- ☒ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- ☒ Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
- ☒ Staffing constraints
- ☐ Limited availability of sites for assisted housing
- ☒ Extent to which particular housing needs are met by other organizations in the community
- ☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- ☒ Influence of the housing market on PHA programs
- ☐ Community priorities regarding housing assistance
- ☐ Results of consultation with local or state government
- ☒ Results of consultation with residents and the Resident Advisory Board
- ☐ Results of consultation with advocacy groups
- ☐ Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2001 grants)		
a) Public Housing Operating Fund	\$277,934	
b) Public Housing Capital Fund	\$834,119	
c) HOPE VI Revitalization		

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$2,299,432	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	\$98,566	
g) Resident Opportunity and Self-Sufficiency Grants KY00RSV012P0018	\$33,519	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
CFP KY36P01250100	\$630,119	*Capital Improvements
PHDEP KY36DEP0120199	\$1,730	*Crime Prevention
PHDEP KY36DEP0120100	\$84,766	*Crime Prevention
ROSS 99RSE012P0058	\$88,750	*Resident Opportunity and Self-Sufficiency
SCPH KY36PS99018	\$11,342	*Service Coordinator Salary and Benefits
Juvenile Justice Grant M-00156664	\$26,164	Family Mentoring
3. Public Housing Dwelling Rental Income		
Rental Income	\$1,015,490	Operations
4. Other income (list below)		
Excess Utilities	\$51,500	Operations
Nondwelling Rental	\$9,400	Operations
4. Non-federal sources (list below)		
Interest on General Fund	\$31,030	Operations
Other Income	\$37,870	Operations
Total resources	\$5,531,731	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- ☐ When families are within a certain number of being offered a unit: (state number)
- ☐ When families are within a certain time of being offered a unit: (state time)
- ☒ Other: (describe) —*Upon receipt of application*

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☒ Criminal or Drug-related activity
- ☒ Rental history
- ☐ Housekeeping
- ☐ Other (describe)

c. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. ☒ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- ☒ Community-wide list
- ☐ Sub-jurisdictional lists
- ☐ Site-based waiting lists
- ☐ Other (describe)

b. Where may interested persons apply for admission to public housing?

- ☒ PHA main administrative office
- ☐ PHA development site management office
- ☐ Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. ☐ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. ☐ Yes ☐ No: May families be on more than one list simultaneously
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office
- ☐ All PHA development management offices
- ☐ Management offices at developments with site-based waiting lists
- ☐ At the development to which they would like to apply
- ☐ Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One
- ☐ Two
- ☒ Three or More

b. ☒ Yes ☐ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

- ☒ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☒ Emergencies
☐ Overhoused
☒ Underhoused
☒ Medical justification
☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)
☐ Resident choice: (state circumstances below)
☐ Other: (list below)

c. Preferences

1. ☒ Yes ☐ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☒ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☐ Victims of domestic violence
☐ Substandard housing
☐ Homelessness
☐ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☒ Working families and those unable to work because of age or disability
- ☒ Veterans and veterans' families
- ☒ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Applied within preferences Date and Time

Former Federal preferences:

- 3 Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- ☒ 2 Working families and those unable to work because of age or disability
- ☒ 4 Veterans and veterans' families
- ☒ 1 Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- ☒ The PHA applies preferences within income tiers
☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- ☒ The PHA-resident lease
☒ The PHA's Admissions and (Continued) Occupancy policy
☒ PHA briefing seminars or written materials
☐ Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- ☒ At an annual reexamination and lease renewal
☒ Any time family composition changes
☒ At family request for revision
☐ Other (list)

(6) Deconcentration and Income Mixing

a. ☒ Yes ☐ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. ☒ Yes ☐ No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

☐ Adoption of site-based waiting lists
If selected, list targeted developments below:

☒ Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:

☐ Employing new admission preferences at targeted developments
If selected, list targeted developments below:

☐ Other (list policies and developments targeted below)

d. ☐ Yes ☒ No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- ☐ Additional affirmative marketing
- ☐ Actions to improve the marketability of certain developments
- ☐ Adoption or adjustment of ceiling rents for certain developments
- ☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- ☐ Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

☐ Not applicable: results of analysis did not indicate a need for such efforts

☒ List (any applicable) developments below:

KY012-001

KY012-002

KY012-003

KY012-004

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

☒ Not applicable: results of analysis did not indicate a need for such efforts

☐ List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- ☒ Criminal or drug-related activity only to the extent required by law or regulation
 - ☐ Criminal and drug-related activity, more extensively than required by law or regulation
 - ☐ More general screening than criminal and drug-related activity (list factors below)
 - ☐ Other (list below)
- b. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. ☒ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- ☐ Criminal or drug-related activity
 - ☒ Other (describe below)
 - 1) *Previous landlord history.*
 - 2) *What amount of the rent the tenant will be responsible for.*

(2) Waiting List Organization

- a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)
- ☒ None
 - ☐ Federal public housing
 - ☐ Federal moderate rehabilitation
 - ☐ Federal project-based certificate program
 - ☐ Other federal or local program (list below)

- b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- ☒ PHA main administrative office
☐ Other (list below)

(3) Search Time

- a. ☒ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

- 1) *Hospitalization, disabilities, or family emergencies (must be verifiable).*
- 2) *Proof of concerted effort to find house within 60 days and has requested assistance from the Housing Authority.*
- 3) *The family turns in request for lease approval and the unit fails HQS inspection.*

(4) Admissions Preferences

- a. Income targeting

- ☒ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

- b. Preferences

1. ☒ Yes ☐ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☐ Victims of domestic violence
☐ Substandard housing
☐ Homelessness
☐ High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☒ Other preference(s) (list below)

Residents who live in Henderson County

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Applied within preferences Date and Time

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
Victims of domestic violence
Substandard housing
Homelessness
High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☒ 1 Other preference(s) (list below)

Residents who live in Henderson County

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- ☒ Date and time of application
☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- ☒ This preference has previously been reviewed and approved by HUD
☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- ☒ The PHA applies preferences within income tiers
☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- ☒ The Section 8 Administrative Plan
☒ Briefing sessions and written materials
☐ Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☒ Through published notices
☐ Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- ☒ The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- ☐ The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
☐ \$1-\$25
☐ \$26-\$50

2. ☐ Yes ☐ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. ☐ Yes ☐ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?
2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- ☐ For the earned income of a previously unemployed household member
- ☐ For increases in earned income
- ☐ Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:
- ☐ Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:
- ☐ For household heads
- ☐ For other family members
- ☐ For transportation expenses
- ☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families
- ☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)
 - ☐ Yes for all developments
 - ☐ Yes but only for some developments
 - ☐ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- ☐ For all developments
- ☐ For all general occupancy developments (not elderly or disabled or elderly only)
- ☐ For specified general occupancy developments
- ☐ For certain parts of developments; e.g., the high-rise portion
- ☐ For certain size units; e.g., larger bedroom sizes
- ☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study
- ☐ Fair market rents (FMR)
- ☐ 95th percentile rents
- ☐ 75 percent of operating costs
- ☐ 100 percent of operating costs for general occupancy (family) developments
- ☐ Operating costs plus debt service
- ☐ The "rental value" of the unit
- ☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- ☐ Never
- ☐ At family option
- ☐ Any time the family experiences an income increase
- ☐ Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- ☐ Other (list below)

g. ☐ Yes ☐ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- ☒ The section 8 rent reasonableness study of comparable housing
- ☒ Survey of rents listed in local newspaper
- ☒ Survey of similar unassisted units in the neighborhood
- ☐ Other (list/describe below)

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- ☐ At or above 90% but below 100% of FMR
- ☒ 100% of FMR
- ☐ Above 100% but at or below 110% of FMR
- ☐ Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- ☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ The PHA has chosen to serve additional families by lowering the payment standard
- ☐ Reflects market or submarket
- ☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- ☐ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ Reflects market or submarket
- ☐ To increase housing options for families
- ☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- ☒ Annually
☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- ☒ Success rates of assisted families
☒ Rent burdens of assisted families
☐ Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
☒ \$1-\$25
☐ \$26-\$50

b. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- ☐ An organization chart showing the PHA's management structure and organization is attached.
☐ A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

(2) Section 8 Management: (list below)

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. ☐ Yes ☐ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- ☐ PHA main administrative office
☐ PHA development management offices
☐ Other (list below)

B. Section 8 Tenant-Based Assistance

1. ☐ Yes ☐ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- ☐ PHA main administrative office
☐ Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

☐

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

☒

The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

Component 7
Capital Fund Program Annual Statement
Parts I, II, and II

Annual Statement

Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number **KY36P01250101** FFY of Grant Approval: **(10/2001)**

Housing Authority of Henderson (KY012)

☒ Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	0
2	1406 Operations	0
3	1408 Management Improvements	4,719
4	1410 Administration	83,411
5	1411 Audit	1,200
6	1415 Liquidated Damages	0
7	1430 Fees and Costs	8,500
8	1440 Site Acquisition	0
9	1450 Site Improvement	41,400
10	1460 Dwelling Structures	525,589
11	1465.1 Dwelling Equipment-Nonexpendable	58,800
12	1470 Nondwelling Structures	80,000
13	1475 Nondwelling Equipment	30,000
14	1485 Demolition	0
15	1490 Replacement Reserve	0
16	1492 Moving to Work Demonstration	0
17	1495.1 Relocation Costs	500
18	1498 Mod Used for Development	0
19	1502 Contingency	0
20	Amount of Annual Grant (Sum of lines 2-19)	834,119
21	Amount of line 20 Related to LBP Activities	0
22	Amount of line 20 Related to Section 504 Compliance	20,000
23	Amount of line 20 Related to Security	77,800
24	Amount of line 20 Related to Energy Conservation Measures	236,200

Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
KY012-1/Lawndale	<i>(1) Washer Kits, install (30 units)</i>	1460	21,750
	<i>(2) Siding on C-Buildings, replace (10 buildings)</i>	1460	42,000
	<i>(3) Metal Porches at C-Buildings, rebuild (10 buildings)</i>	1460	25,000
	<i>(4) Concrete Stoops at C-Buildings, replace (10 buildings)</i>	1450	17,000
	<i>(5) Entrance Locks, replace (268 locks)</i>	1460	26,800
	SUBTOTAL		132,550
KY012-2/Dixon	<i>(1) Washer Kits, install (20 units)</i>	1460	14,500
	<i>(2) Siding on C-Buildings, replace (7 units)</i>	1460	29,400
	<i>(3) Metal Porches at C-Buildings, rebuild (10 units)</i>	1460	17,500
	<i>(4) Concrete Stoops at C-Buildings, replace (7 units)</i>	1450	11,900
	<i>(5) Lights in Gym, replace (24 units)</i>	1470	5,000
	<i>(6) Siding on Back of Barret, replace (1 building)</i>	1470	15,000
	<i>(7) Storage Buildings, build (12 buildings)</i>	1460	42,000
	<i>(8) Alarm System at Barret Center, replace (1 building)</i>	1470	25,000
	<i>(9) Parking Lot on Washington Street, replace (1 unit)</i>	1470	35,000
	<i>(10) House at Dixon & Ingram, build (1 house)</i>	1460	87,000
	SUBTOTAL		282,300
KY012-3/4 Sites	<i>(1) Bathrooms, remodel (22 units)</i>	1460	66,000
	<i>(2) Run Cable, install (22 units)</i>	1460	15,400
	<i>(3) Closet Doors, replace (22 units)</i>	1460	35,200
	<i>(4) Refrigerators with Icemakers at Elderly Units, replace (80 units—includes 2 spares)</i>	1465.1	42,800
	<i>(5) Water Valves, replace (130 units)</i>	1460	10,400
	<i>(6) Section 504 Unit at Madison Court, modify (1 unit)</i>	1460	20,000
	<i>(7) Entrance Locks, replace (260 locks)</i>	1460	26,000
	SUBTOTAL		215,800

Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
KY012-4/840 N. Adams	(1) Hot Water Heaters, replace (50 units)	1460	15,000
	(2) Screws in Metal Roof, replace (10 buildings)	1460	4,000
	(3) Seal Street and Service Road	1450	3,500
	(4) Icemakers, add (100 units)	1465.1	16,000
	SUBTOTAL		38,500
HA-wide	(1) A & E	1430	7,000
	(2) Administration	1410	83,411
	(3) Equipment	1475	30,000
	(4) Audit	1411	1,200
	(5) Relocation	1495.1	500
	(6) Fees and Costs	1430	1500
	(7) Landscaping	1450	4,000
	(8) Painting and Restoration	1460	13,200
	(9) Carpet	1460	14,439
	(10) Sidewalk, replace	1450	5,000
	(11) Management Improvements	1408	4,719
	SUBTOTAL		164,969

Annual Statement
Capital Fund Program (CFP) Part III: Implementation Schedule

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)
<i>KY012-1/Lawndale</i>	<i>3/31/2003</i>	<i>9/30/2004</i>
<i>KY012-2/Dixon</i>	<i>3/31/2003</i>	<i>9/30/2004</i>
<i>KY012-3/4 Sites</i>	<i>3/31/2003</i>	<i>9/30/2004</i>
<i>KY012-4/840 N. Adams</i>	<i>3/31/2003</i>	<i>9/30/2004</i>
<i>HA wide</i>	<i>3/31/2003</i>	<i>9/30/2004</i>

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

- a. ☒ Yes ☐ No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)
- b. If yes to question a, select one:
- ☐ The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name
- or-
- ☒ The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

Attachment C

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY012-1	Lawndale	3	2.3
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
(1) Washer Kit, install (66 units)		52,800	2002
(2) Siding on C-Building, replace (6 buildings)		27,000	2002
(3) Metal Porches at C-Building, rebuild (6 buildings)		18,000	2002
(4) Concrete Stoops at C-Building, replace (6 buildings)		11,100	2002
(5) Metal Porches at B-Building, rebuild (7 buildings)		39,000	2002
(6) Concrete Stoops at B-Building, replace (7 buildings)		13,000	2002
(7) Storage Building, build (24 buildings)		81,100	2002
(8) Refrigerator with Icemaker at 3 & 4-bedroom, replace (36 units)		18,900	2002
(9) Carbon Monoxide Detector, install (134 units)		14,000	2002
SUBTOTAL		274,900	2002
(1) Porch Lights, replace (268 units)		7,504	2003
(2) Floors in Kitchen and Utility, replace (50 units)		65,000	2003
(3) Interior Door, replace (50 units)		92,500	2003
(4) Apartment Numbers, replace (134 units)		4,020	2003
(5) Rubber Mulch, lay		3,000	2003
(6) Metal Porches at D-Building, rebuild (1 building)		14,000	2003
SUBTOTAL		186,024	2003
(1) Floors in Kitchen and Utility, replace (30 units)		40,500	2004
(2) Interior Door, replace (30 units)		56,250	2004
(3) Cable, run (30 units)		27,000	2004
(4) Duplex, begin building		107,865	2004
SUBTOTAL		231,615	2004
(1) Floors in Kitchen and Utility, replace (34 units)		46,750	2005
(2) Interior Door, replace (34 units)		62,900	2005
(3) Cable, run (50 units)		45,000	2005
(4) Patio at 1-Bedroom, build (38 units)		16,150	2005
(5) Heater, replace (134 units)		147,400	2005
(6) Duplex, finish building		35,400	2005
SUBTOTAL		353,600	2005
Total estimated cost over next 5 years		1,178,689	

Attachment C

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years.
Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY012-2	Dixon	2	3
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
(1) Washer Kit, install (16 units)		12,800	2002
(2) Refrigerator with Icemaker at 3 & 4-bedroom, replace (16 units)		8,400	2002
(3) Carbon Monoxide Detector, install (66 units)		5,000	2002
(4) Barret Center		52,000	2002
(5) Computers at Barret Center, replace		45,000	2002
(6) House, build		80,000	2002
SUBTOTAL		203,200	2002
(1) Porch Lights, replace (132 units)		3,696	2003
(2) Floors in Kitchen and Utility, replace (15 units)		19,500	2003
(3) Interior Door, replace (15 units)		27,750	2003
(4) Apartment Numbers, replace (66 units)		1,980	2003
(5) Rubber Mulch, lay		3,000	2003
(6) Metal Porches at B-Building, rebuild (4 buildings)		22,300	2003
(7) Metal Porches at D-Building, rebuild (1 building)		5,575	2003
(8) Concrete Stoops at B-Building, replace (4 buildings)		7,428	2003
(9) Concrete Stoops at D-Building, replace (1 building)		1,500	2003
(10) Washer Kit, install (10 units)		8,000	2003
(11) Roof at Barret Center Gymnasium, replace		50,000	2003
SUBTOTAL		150,729	2003
(1) Floors in Kitchen and Utility, replace (15 units)		20,250	2004
(2) Interior Door, intall (15 units)		28,125	2004
(3) Cable, run (15 units)		13,500	2004
(4) Heater, replace (66 units)		72,600	2004
SUBTOTAL		134,475	2004
(1) Floors in Kitchen and Utility, replace (20 units)		27,500	2005
(2) Interior Door, intall (20 units)		34,000	2005
(3) Cable, run (20 units)		18,000	2005
SUBTOTAL		79,500	2005
Total estimated cost over next 5 years		850,204	

Attachment C

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY012-3	4 Sites	4	3
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
(1) Washer Kit at 1-Bedroom Elderly, install (54 units)		43,200	2002
(2) Carbon Monoxide Detector, install (53 units)		4,000	2002
(3) Range and Range Hood at Elderly, replace (78 units)		35,100	2002
(4) Kitchen Cabinets, Sink, and Faucet at Fagan Square, replace (50 units)		81,250	2002
SUBTOTAL		163,550	2002
(1) Interior Door at Elderly, replace (20 units)		34,000	2003
(2) Apartment Numbers, replace (130 units)		3,900	2003
(3) Rubber Mulch, lay		3,500	2003
(4) Kitchen Sink and Faucet at Elderly, replace (29 units)		5,800	2003
(5) Kitchen Cabinets at Elderly, replace (29 units)		42,050	2003
(6) Bath at Elderly, remodel (20 units)		60,000	2003
(7) Cable at Elderly, run (20 units)		18,000	2003
SUBTOTAL		167,250	2003
(1) Interior Door at Elderly, replace (30 units)		51,000	2004
(2) Cable at Elderly, run (30 units)		27,000	2004
(3) Bath at Elderly, remodel		90,000	2004
(4) Porch Lights, replace (260 units)		7,280	2004
SUBTOTAL		175,280	2004
(1) Interior Door at Elderly, replace (28 units)		47,600	2005
(2) Cable at Elderly, run (28 units)		25,200	2005
(3) Bath at Elderly, remodel (28 units)		84,000	2005
(4) Breaker Panel, replace (40 units)		34,000	2005
(5) Patio at Family, build (30 units)		9,000	2005
SUBTOTAL		199,800	2005
Total estimated cost over next 5 years		921,680	

Attachment C

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
KY012-4	840 N. Adams	3	3
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
(1) Laundry Room at Apt. 140, build		10,000	2002
(2) Bath Tub, install (10 units)		16,000	2002
(3) Vanity, replace (10 units)		1,500	2002
SUBTOTAL		27,500	2002
(1) Breaker Panel, replace (103 units)		106,296	2003
(2) Bath Tub, install (5 units)		8,000	2003
(3) Vanity, replace (5 units)		750	2003
(4) Air Conditioning, replace (50 units)		50,101	2003
SUBTOTAL		165,147	2003
(1) Storm Door, replace (103 units)		26,780	2004
(2) Distribution Panel, replace (10 units)		50,000	2004
(3) Air Conditioning, replace (51 units)		51,000	2004
SUBTOTAL		127,780	2004
(1) Cabinets, replace (25 units)		36,250	2005
SUBTOTAL		36,250	2005
Total estimated cost over next 5 years		395,177	

Attachment C

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
	<i>HA-wide</i>		
Description of Needed Physical Improvements or Management Improvements		Estimated Cost	Planned Start Date (HA Fiscal Year)
(1) A & E		7,000	2002
(2) Administration		83,412	2002
(3) Equipment		34,718	2002
(4) Audit		1,200	2002
(5) Relocation		500	2002
(6) Fees & Costs		1,500	2002
(7) Landscaping		4,000	2002
(8) Painting and Restoration		13,200	2002
(9) Carpet, replace		14,439	2002
(10) Sidewalk, replace		5,000	2002
SUBTOTAL		164,969	2002
(1) A & E		7,000	2003
(2) Administration		83,412	2003
(3) Equipment		34,718	2003
(4) Audit		1,200	2003
(5) Relocation		500	2003
(6) Fees and Costs		1,500	2003
(7) Landscaping		4,000	2003
(8) Painting and Restoration		13,200	2003
(9) Carpet, replace		14,439	2003
(10) Sidewalk, replace		5,000	2003
SUBTOTAL		164,969	2003
(1) A & E		7,000	2004
(2) Administration		83,412	2004
(3) Equipment		34,718	2004
(4) Audit		1,200	2004
(5) Relocation		500	2004
(6) Fees and Costs		1,500	2004
(7) Landscaping		4,000	2004
(8) Painting and Restoration		13,200	2004
(9) Carpet, replace		14,439	2004

<i>(10) Sidewalk, replace</i>	<i>5,000</i>	<i>2004</i>
<i>SUBTOTAL</i>	<i>164,969</i>	<i>2004</i>
<i>(1) A & E</i>	<i>7,000</i>	<i>2005</i>
<i>(2) Administration</i>	<i>83,412</i>	<i>2005</i>
<i>(3) Equipment</i>	<i>34,718</i>	<i>2005</i>
<i>(4) Audit</i>	<i>1,200</i>	<i>2005</i>
<i>(5) Relocation</i>	<i>500</i>	<i>2005</i>
<i>(6) Fees and Costs</i>	<i>1,500</i>	<i>2005</i>
<i>(7) Landscaping</i>	<i>4,000</i>	<i>2005</i>
<i>(8) Painting and Restoration</i>	<i>13,200</i>	<i>2005</i>
<i>(9) Carpet, replace</i>	<i>14,439</i>	<i>2005</i>
<i>(10) Sidewalk, replace</i>	<i>5,000</i>	<i>2005</i>
<i>SUBTOTAL</i>	<i>164,969</i>	<i>2005</i>
Total estimated cost over next 5 years	824,845	

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

- ☐ Yes ☒ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
- b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:
2. Development (project) number:
3. Status of grant: (select the statement that best describes the current status)
 - ☐ Revitalization Plan under development
 - ☐ Revitalization Plan submitted, pending approval
 - ☐ Revitalization Plan approved
 - ☐ Activities pursuant to an approved Revitalization Plan underway

- ☐ Yes ☒ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
- If yes, list development name/s below:

- ☐ Yes ☒ No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
- If yes, list developments or activities below:

- ☐ Yes ☒ No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
- If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. ☐ Yes ☒ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)	
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway	

5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)

- ☐ Units addressed in a pending or approved demolition application (date submitted or approved: _____)
- ☐ Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____)
- ☐ Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____)
- ☐ Requirements no longer applicable: vacancy rates are less than 10 percent
- ☐ Requirements no longer applicable: site now has less than 300 units
- ☐ Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. ☐ Yes ☒ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance

1. ☐ Yes ☒ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

☐ Yes ☐ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☐ 25 or fewer participants
☐ 26 - 50 participants
☐ 51 to 100 participants
☐ more than 100 participants

b. PHA established eligibility criteria

☐ Yes ☐ No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12.PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (I)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

☐ Yes ☐ No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☐ Client referrals
- ☐ Information sharing regarding mutual clients (for rent determinations and otherwise)
- ☐ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- ☐ Jointly administer programs
- ☐ Partner to administer a HUD Welfare-to-Work voucher program
- ☐ Joint administration of other demonstration program
- ☐ Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☐ Public housing rent determination policies
- ☐ Public housing admissions policies
- ☐ Section 8 admissions policies
- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- ☐ Preference/eligibility for public housing homeownership option participation
- ☐ Preference/eligibility for section 8 homeownership option participation
- ☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

- ☐ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If "yes", complete the following table; if "no" skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8		

- b. ☐ Yes ☐ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- ☐ Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- ☐ Informing residents of new policy on admission and reexamination

- ☐ Actively notifying residents of new policy at times in addition to admission and reexamination.
- ☐ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- ☐ Establishing a protocol for exchange of information with all appropriate TANF agencies
- ☐ Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13.PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents

(select all that apply)

- ☐ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☐ Residents fearful for their safety and/or the safety of their children
- ☐ Observed lower-level crime, vandalism and/or graffiti
- ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☐ Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- ☐ Safety and security survey of residents
- ☐ Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☐ Resident reports
- ☐ PHA employee reports
- ☐ Police reports

- ☐ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☐ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- ☐ CrimePrevention Through Environmental Design
- ☐ Activities targeted to at-risk youth, adults, or seniors
- ☐ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☐ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☐ Police provide crime data to housing authority staff for analysis and action
- ☐ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☐ Police regularly testify in and otherwise support eviction cases
- ☐ Police regularly meet with the PHA management and residents
- ☐ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2001 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- ☒ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- ☐ Yes ☒ No: Has the PHA included the PHDEP Plan for FY 2001 in this PHA Plan?
- ☒ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename: **ky012b01**)

Attachment B

14.RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15.Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16.Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?
3. ☐ Yes ☒ No: Were there any findings as the result of that audit?
4. ☐ Yes ☐ No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. ☐ Yes ☐ No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17.PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. ☐ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
☐ Not applicable
☐ Private management
☐ Development-based accounting
☐ Comprehensive stock assessment
☐ Other: (list below)
3. ☐ Yes ☐ No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18.Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. ☒ Yes ☐ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
☒ **Attachment C--**Attached at Attachment (File name) **ky012c01**
☐ Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
☒ Considered comments, but determined that no changes to the PHA Plan were necessary.
☐ The PHA changed portions of the PHA Plan in response to comments
List changes below:
☐ Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. ☐ Yes ☒ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. ☐ Yes ☒ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- ☐ Candidates were nominated by resident and assisted family organizations
- ☐ Candidates could be nominated by any adult recipient of PHA assistance
- ☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot
- ☐ Other: (describe)

b. Eligible candidates: (select one)

- ☐ Any recipient of PHA assistance
- ☐ Any head of household receiving PHA assistance
- ☐ Any adult recipient of PHA assistance
- ☐ Any adult member of a resident or assisted family organization
- ☐ Other (list)

c. Eligible voters: (select all that apply)

- ☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- ☐ Representatives of all PHA resident and assisted family organizations
- ☐ Other (list)

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here) *City of Henderson*

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☒ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☒ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

For low- to moderate-income families wanting to become homeowners, the City of Henderson proposes to budget \$60,000 of Fiscal Year 2000 CDBG program year funds to undertake acquisition of properties in conjunction with their 2000 HOME Homebuyer Program for the placement of 9 new homes within the low- to moderate-income areas encompassing or surrounding the Housing Authority of Henderson.

In addition, the City of Henderson will receive, over the next two years, \$285,000 in Homeowner Downpayment Assistance from the State of Kentucky's competitive grant program. These funds will be utilized for provision of downpayment and closing costs for 18 low-income eligible homebuyers.

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

PHA Plan Table Library

Component 7 Capital Fund Program Annual Statement Parts I, II, and III

Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (MM/YYYY)

☐ Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
3	1408 Management Improvements	
4	1410 Administration	
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	
8	1440 Site Acquisition	
9	1450 Site Improvement	
10	1460 Dwelling Structures	
11	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

Annual Statement

Capital Fund Program (CFP) Part III: Implementation Schedule

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Attachment C

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

ATTACHMENT A

ADMISSIONS POLICY FOR DECONCENTRATION

INTRODUCTION: In an ongoing effort for the Housing Authority to meet or exceed the laws and regulations regarding its public housing programs, the following Deconcentration Policy has been developed in order to comply with the Quality Housing and Work Responsibility Act of 1998, Section 513.

INCOME MIX TARGETING: To meet the requirements of the Act and subsequent HUD regulations, at least 40 percent of families admitted in any fiscal year to public housing by the Housing Authority must have incomes that do not exceed 30% of the area median.

PROHIBITION OF CONCENTRATION OF LOW-INCOME FAMILIES: The Housing Authority will not, in meeting this income mix targeting, concentrate very low income families, or other families with relatively low incomes, in public housing units in certain projects or certain buildings. The Housing Authority will review the income and occupancy characteristics of the housing projects and the buildings of each project annually to ensure that a low-income concentration does not occur or, that steps are taken to reduce any concentration of poverty already in existence.

DECONCENTRATION: The Housing Authority will make every effort to deconcentrate families of certain income characteristics within the Authority developments. To achieve this, the Housing Authority will offer incentives for eligible families having higher incomes to occupy dwelling units in projects predominantly occupied by eligible families having lower incomes, and provide for occupancy of eligible families having lower incomes in project predominantly occupied by eligible families having higher incomes. Incentives by the Housing Authority allow for the eligible family to have the sole discretion in determining whether to accept the incentive and the Housing Authority will not take any adverse action toward any eligible family for choosing not to accept these incentives. The skipping of a family on the waiting list to reach another family to implement this Deconcentration Policy shall not be considered an adverse action. As such, the Housing Authority will continue to accept applications and place the individuals on a waiting list.

Selection will be made based on a combination of application date and time, and an income target mix. A family may be “skipped over” to offer a vacancy to the first qualifying family with a targeted income. This Authority will define a “higher income family” as one earning more than the calculated average for that development, and a “lower-income family” as one earning less than the calculated average.

The Housing Authority will track the income mix within each project as an effort to avoid a concentration of higher or lower income families in any one building or development. From the tables below, there is a concentration of Very Low income families in all the HHA developments.

The HUD FY 2000 Income Limits and Fair Market Rent Data show the thirty, fifty and eighty percents of the Median Income per number in a household are as follows:

# Person	30% of Median	50% Very Low Income	80% Low Income
1	\$10,000	\$16,650	\$26,250
2	\$11,400	\$19,050	\$30,450
3	\$12,850	\$21,400	\$34,250
4	\$14,300	\$23,800	\$38,100
5	\$15,400	\$25,700	\$41,150
6	\$16,550	\$27,600	\$44,150
7	\$17,700	\$29,500	\$47,200
8	\$18,850	\$31,400	\$50,250

On 10/3/2000, the Authority had 421 of its 430 public housing units filled as follows:

% of median	# families	%
30	267	63
50	112	27
80	42	10

Project (Units)	<30% of Median		<50% of Median		<80% of Median		Total Units and Vacancies	
	#	%	#	%	#	%	# Units	#Vacs
KY 012-1(134)	80	62	118	91	129	100.0	134	5
KY 012-2(66)	34	52	59	89	66	100.0	66	0

KY 012-3(130)	78	61	108	84	128	100.0	130	2
KY 012-4(100)	75	77	94	96	98	100.0	100	2

On 10/3/2000, the Authority had 108 families on its waiting list. Of the total, 37 (34.3%) had incomes under 30% of the median, 27 (24.0%) had incomes above 30% but below 50% of the median, and 44 (40.8%) had incomes above 50% but less than 80% of the median income.

Three projects had greater than 60% (percent) of the families with thirty (30) percent or less of the median income. Monitoring is and will continue to be conducted to confirm that at least forty (40) percent of all new leases will be to families that earn an amount equal to or less than thirty (30) percent of median income.

Through marketing and outreach, we have had a 20.5% (23 families) increase in the number of families with incomes greater than thirty (30) but less than fifty (50) percent of median income in the projects noted above. Consequently, there has been a decrease in the concentrations of very low-income families as per the requirements of the QHWRA of 1998. Census data shows Henderson City has 3211 renter families (out of 4470), 71.8%, that earn incomes that qualify them for Public Housing assistance. Of these, 1729 have housing problems and 316 (at any one time) are looking for a house to rent. The Authority's waiting list shows that 59.2% of the eligible families are earning less than 50% of the AMI. In other words, approximately 59% of the waiting families are in poverty. Obviously, some higher incomes do exist and every effort will be made to attract more to public housing.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within the PHDEP Target Area(s)
<i>Lawndale</i>	<i>134</i>	<i>317</i>
<i>Dixon</i>	<i>66</i>	<i>146</i>
<i>Fagan Square</i>	<i>50</i>	<i>55</i>
<i>Madison Court</i>	<i>22</i>	<i>72</i>
<i>8th Street Court/740 & 750 N. Adams</i>	<i>48</i>	<i>110</i>
<i>Dixon/Ingram</i>	<i>10</i>	<i>13</i>
<i>840 N. Adams</i>	<i>100</i>	<i>99</i>

F. Duration of Program

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an "x" to indicate the length of program by # of months. For "Other", identify the # of months).

6 Months _____ 12 Months X 18 Months _____ 24
Months _____ Other _____

G. PHDEP Program History

Indicate each FY that funding has been received under the PHDEP Program (place an "x" by each applicable Year) and provide amount of funding received. If previously funded programs have not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. For grant extensions received, place "GE" in column or "W" for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extensions or Waivers	Anticipated Completion Date
FY 1995	N/A	N/A	N/A	N/A	N/A
FY 1996	\$216,000	KY36DEP0120196	0	N/A	N/A
FY 1997	\$129,592	KY36DEP0120197	0	N/A	N/A
FY 1998	\$129,000	KY36DEP0120198	0	N/A	6/30/2000
FY 1999	\$94,574	KY36DEP0120199	0	N/A	12/31/2000
FY 2000	\$98,566	KY36DEP0120100	\$73,766	N/A	12/31/2001

Section 2: PHDEP Plan Goals and Budget**A. PHDEP Plan Summary**

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

The Housing Authority of Henderson will meet the targeted population needs through increasing law enforcement and mentoring programs for youth utilizing the Henderson Police Department. Educational opportunities for youth and adults and employment opportunities will be increased utilizing the Henderson Community College and the Kentucky Department of Vocational Rehabilitation. After school and summer programs for youth will be provided utilizing the City of Henderson, the Henderson School System, the Henderson Parks and Recreation Department, and individual qualified contractors.

The two primary goals for the PHDEP FY 2001 plan is to: (1) decrease crime committed in the PHA areas and increase the residents' confidence in the local police department through positive interaction; and (2) provide youth the opportunity to realize their highest potential through better educational and employment

opportunities for them and their families, and to provide a safe, as well as healthy, environment for after school and summers.

B. PHDEP Budget Summary

Enter the total amount of PHDEP funding allocated to each line item.

FY <u>2001</u> PHDEP Budget Summary	
Budget Line Item	Total Funding
9110 - Reimbursement of Law Enforcement	\$35,899
9120 - Security Personnel	
9130 - Employment of Investigators	
9140 - Voluntary Tenant Patrol	
9150 - Physical Improvements	
9160 - Drug Prevention	\$62,667
9170 - Drug Intervention	
9180 - Drug Treatment	
9190 - Other Program Costs	
TOTAL PHDEP FUNDING	\$98,566

C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (where applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

9110 - Reimbursement of Law Enforcement					Total PHDEP Funding: \$35,899		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount/ Source)	Performance Indicators
1. Increase patrols			1/1/2002	12/31/2002	\$35,899	\$15,500/ City of Henderson	Calls for service
2.							
3.							

9120 - Security Personnel					Total PHDEP Funding: \$ N/A		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9130 - Employment of Investigators					Total PHDEP Funding: \$ N/A		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9140 - Voluntary Tenant Patrol					Total PHDEP Funding: \$ N/A		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9150 - Physical Improvements					Total PHDEP Funding: \$ N/A		
Goal(s)							
Objectives							
Proposed Activities	# of	Target	Start	Expected	PHDEP	Other	Performance Indicators

	Persons Served	Population	Date	Complete Date	Funding	Funding (Amount /Source)	
1.							
2.							
3.							

9160 - Drug Prevention					Total PHDEP Funding: \$62,667		
Goal(s)	Provide opportunities for a drug free environment through education and recreational activities.						
Objectives	Provide drug education and awareness through youth and after school programs, tutoring, and academic instruction. As well as developing and maintaining open communication with the local school system.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Drug education/awareness	230	Youth/Adult	1/1/2002	12/31/2002	\$1,125	\$200/HPD	# of residents observing change in drug-related activity (Survey)
2. Youth services	1,240	Youth and families	1/1/2002	12/31/2002	\$15,600	\$8,000 HHA**	# of participants
3. P.M. activities	450	Young children	1/1/2002	12/31/2002	\$13,832	\$0	# of participants
4. After school tutoring	960	Youth and young children	1/1/2002	12/31/2002	\$20,440	\$5,000/HHA	# of participants & GPA
5. Academic computer lab	200	Youth and adults	1/1/2002	12/31/2002	\$11,670	\$1,330/HHA	# of participants and successful completion

***This amount is what is paid by the HHA for the Summer youth program.*

9170 - Drug Intervention	Total PHDEP Funding: \$ N/A
---------------------------------	------------------------------------

Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9180 - Drug Treatment					Total PHDEP Funding: \$ N/A		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9190 - Other Program Costs					Total PHDEP Funds: \$0		
Goal(s)		Execute successful and appropriate grant management.					
Objectives		Carry out PHDEP plan as proposed including appropriate expenditure of funds.					
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators

1. Grant Manager/Coordinator			1/1/2002	12/31/2002	\$0	\$26,184/HHA	Report completion
2.							
3.							

Section 3: Expenditure/Obligation Milestones

Indicate by Budget Line Item and the Proposed Activity (based on the information contained in Section 2 PHDEP Plan Budget and Goals), the % of funds that will be expended (at least 25% of the total grant award) and obligated (at least 50% of the total grant award) within 12 months of grant execution.

Budget Line Item #	25% Expenditure of Total Grant Funds By Activity #	Total PHDEP Funding Expended (sum of the activities)	50% Obligation of Total Grant Funds by Activity #	Total PHDEP Funding Obligated (sum of the activities)
<i>e.g Budget Line Item # 9120</i>	<i>Activities 1, 3</i>		<i>Activity 2</i>	
9110	Activity 1	\$8,981	Activity 1	\$17,961
9120				
9130				
9140				
9150				
9160	Activity 1 – 5	\$15,661	Activity 1 – 5	\$31,322
9170				
9180				
9190				
TOTAL		\$24,642		\$49,283

Section 4: Certifications

A comprehensive certification of compliance with respect to the PHDEP Plan submission is included in the “PHA Certifications of Compliance with the PHA Plan and Related Regulations.”

ATTACHMENT C

COMMENTS OF RESIDENT ADVISORY BOARD

PUBLIC HOUSING AGENCY PLANS

Date: October 31, 2000, 10:00 A.M. CST
Location: Boswell Conference Room—111 South Adams Street
Present: Board: Ms. Willie M. Ballard, President; Ms. Wanda Hawkins, Treasurer; Ms. Flora Householder; and Ms. Nadine Marshall (see attached sign-in sheet)
Staff: Bobbie Jarrett, Executive Director; Maria Oliver, Administrative Assistant

Ms. Jarrett reviewed the revised sections of the Public Housing Agency Plans with the Board, namely, FFY 2001 Capital Fund Program Annual Statement, 5-Year Action Plan for Capital Fund, Operating Budget (Housing), Section 8 Annual Contributions Budget and Requisition, Pet Policy, Section 8 Administration Plan, and Community Service and Family SelfSufficiency. In addition, we reviewed the proposed revision for the FFY 2000 Capital Fund Program.

During the review, the Board members provided the following input:

<u>Page # and Item</u>	<u>Comment from Board Member</u>	<u>HA Response</u>
Template, 5 Year Plan, page 2 Objective: Renovate or modernize public housing units: Renovate/modernize to increase marketability and, when feasible, add amenities through Capital Funds.	KY-12-1: It floods near the 33 building.	We cannot do anything due to a natural flow by the playground. In addition, that is City property.

	KY-12-1 and KY-12-2:	Since residents have really wanted storage buildings, we continued to address this issue despite the fact that the design and layout of our development buildings do not allow us to place storage buildings that are out in the market without significantly detracting from the developments. After much review, we have developed a feasible design that our Modernization and Maintenance Department will build.
	KY-12-3: At Dixon & Ingram, we need gutters in the back and front to keep us from getting drenched when it rains.	We will look into this with the Modernization and Maintenance Coordinator. Since Dixon & Ingram and Fagan Square have metal roofs, we will also look into installing a snow guard component that will keep sheets of snow from falling on people.
	KY-12-3: The woman at 450-F Dixon & Ingram needs a wheelchair ramp.	We will look into possibly installing a wooden ramp.
	KY-12-3: Can a closet door be placed in the living rooms at Dixon & Ingram?	We will look into it with the Modernization and Maintenance Coordinator.
	HA-wide: When replacing trees, we do not want bushes with thorns.	Okay.

<p>Template, FY 2001 Annual Plan, pages 30-40</p> <p>Component 7: Capital Fund Program Annual Statement; and Attachment C: Optional Table for 5-Year Action Plan for Capital Fund (Component 7)</p>	<p>The Board members were especially pleased with the following: addition of storage buildings, construction of houses and provision of opportunity for homeownership, running and encasement of cable lines, building of duplex, and building of laundry room at Apt. 140.</p> <p>“It’s wonderful that you’re going to build houses!”</p> <p>“The windows in the apartments are beautiful!”</p> <p>The President of the Resident Advisory Board expressed that the administrative staff is doing well. Residents can call maintenance, and the employees respond quickly.</p>	<p>Ms. Jarrett reviewed the work categories in the FFY 2001 Capital Fund Program Annual Statement and the 5-Year Action Plan.</p> <p>In addition, Ms. Jarrett reviewed the proposed revision for the FFY 2000 Capital Fund Program.</p>
<u>Page # and Item</u>	<u>Comment from Board Member</u>	<u>HA Response</u>
	<p>HA-wide: Is there transportation to doctors?</p>	<p>The community of Henderson already provides that service.</p>
<p>PHDEP Plan</p> <p>Attachment B--Public Housing Drug Elimination Program Plan (ky012b01)</p>		<p>We will begin to look at the possibility of converting a portion of Barret Center into a learning center for Housing Authority youth (the portion that was being leased by the Alternative School). The center could also be used by adults.</p>

Printed on: 9/29/0010:41 AM

Small PHA Plan Update Page 19

Table Library

**Required Attachment D: Resident Member on the PHA
Governing Board**

1. ☒ Yes ☐ No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board:

Ms. Willie M. Ballard--President, Resident Advisory Board

B. How was the resident board member selected: (select one)?

☒ Elected—*Invitation was issued for the President elected by peers to serve on the Board.*

☐ Appointed

C. The term of appointment is (include the date term expires):

August 2002

2. A. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not?

- ☐ the PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis
- ☐ the PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.
- ☐ Other (explain):

B. Date of next term expiration of a governing board member:

September 30, 2001

C. *Name and title of appointing official(s) for governing board (indicate appointing official for the next position):*

Mayor Joan Hoffman

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**Required Attachment E: Membership of the Resident
Advisory Board or Boards**

List members of the Resident Advisory Board or Boards: (If the list would be unreasonably long, list organizations represented or otherwise provide a description sufficient to identify how members are chosen.)

<i>Ms. Willie Ballard</i>	<i>President</i>	<i>Housing Authority</i>
<i>Ms. Linda Basham</i>	<i>Vice-President</i>	<i>Housing Authority</i>
<i>Ms. Nancy Patterson</i>	<i>Secretary</i>	<i>Housing Authority</i>
<i>Ms. Wanda Hawkins</i>	<i>Treasurer</i>	<i>Housing Authority</i>
<i>Ms. Valerie Llewellyn</i>	<i>Member-at-Large</i>	<i>Housing Authority</i>
<i>Ms. Nadine Marshall</i>		<i>Housing Authority</i>
<i>Mr. Scott Hogan</i>		<i>Housing Authority</i>
<i>Ms. Flora Householder</i>		<i>Housing Authority</i>
<i>Ms. Susan Morgan</i>		<i>Section 8</i>
<i>Vacancy—1 at Lawndale</i>		<i>Housing Authority</i>
<i>Vacancy—1 at Dixon</i>		<i>Housing Authority</i>
<i>Vacancy</i>		

Attachment F

Definition of Substantial Deviation and Significant Amendment or Modification

The following actions are defined as substantial deviation or significant amendment or modification:

GOALS

- Additions or deletions of Strategic Goals

PROGRAMS

- Any change with regard to demolition or disposition, designation of housing, homeownership programs or conversion activities

CAPITAL BUDGET

- Additions of non-emergency work items (items not included in the current Annual Statement of Five Year Action Plan) or change in use of replacement reserve funds

POLICIES

- Changes to rent or admissions policies or organization of the waiting list

An exception to the above definition will be made for any of the above that are adopted to reflect changes in HUD regulatory requirements since such changes are not considered significant amendments by HUD.